

08/23/01



JC682 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Robert Edward Galbraith, Carl. E. Forhan,
Jessica M. Gisi
Title: ADVANCED READ CACHE MANAGEMENT

Atty. Docket: IBM / 67DV1
Client Ref.: ROC919980164US2



09/935939

CERTIFICATE OF MAILING BY EXPRESS MAIL - 37 CFR 1.10

'Express Mail' mailing label number: EL887267531US
Date of Deposit: August 23, 2001

I certify that this paper or fee (along with the enclosures noted herein) is being deposited with the United States Postal Service 'Express Mail Post Office to Addressee' service under 37 CFR 1.10 on the above date and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: Ryan Cummins (person mailing paper)

UTILITY PATENT APPLICATION TRANSMITTAL

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

This is a request for filing, under 37 CFR § 1.53(b), a(n):

- ☐ Original (non-provisional) application.
- ☒ **Divisional of prior application** Serial No. 09/250,349, filed on February 16, 1999.
- ☐ Continuation of prior application Serial No. __, filed on __.
- ☐ Continuation-in-part of prior application Serial No. __, filed on __.

For Divisional and Continuation applications ONLY:

- ☒ **Copy of Executed Declaration, Power of Attorney and Petition Form from parent application is enclosed (as noted below in Enclosures).**
- ☒ **Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.**

For all Divisional, Continuation and Continuation-in-part applications:

- ☐ Small Entity Status was requested in the prior application, and small entity status is still proper and desired.
- ☒ **This application is assigned to INTERNATIONAL BUSINESS MACHINES CORPORATION by virtue of an earlier assignment filed in the prior application at Reel 9775, Frame 873-875.**

PRELIMINARY AMENDMENT/CALCULATION OF FEES

- ☒ Please cancel claims 1-20 and claims 31-44 without prejudice, and prior to calculating the fees. 10 total claim(s), of which 1 is(are) independent, is(are) pending after the amendment.

☐ Please enter the enclosed preliminary amendment identified below prior to calculating the fees. ___ total claim(s), of which ___ is(are) independent, is(are) pending after the amendment.

☐ Small Entity Status is Requested

☒ **The Fees are Calculated as Follows:**

Fee:	Number of Claims:	In Excess of:	Extra:	At Rate:	Amount:
Total Claims	10	20	0	\$18	\$0.00
Independent Claims	1	3	0	\$80	\$0.00
MULTIPLE DEPENDENT CLAIM FEE					
BASIC FEE					\$710.00
TOTAL OF ABOVE CALCULATIONS					\$710.00
REDUCTION BY 50% FOR FILING BY SMALL ENTITY					
TOTAL					\$710.00

ENCLOSURES

☒ **Utility Patent Application Transmittal Form (in duplicate) containing Certificate of Mailing By Express Mail Under 37 CFR 1.10.**

☒ **Return Postcard.**

APPLICATION PAPERS

☒ **Utility Patent Application, with: cover sheet, 68 page(s) specification (including 44 total claim(s), of which 8 is(are) independent), and 1 page(s) abstract.**

☒ **Drawings: 10 sheet(s) of formal drawings (10 total figure(s)).**

☐ Microfiche Computer Program (Appendix).

☐ Nucleotide and/or Amino Acid Sequence, including (all are necessary): Computer Readable Copy, Paper Copy (identical to computer copy), and Statement verifying identity of copies.

☐ An ___ Declaration, Power of Attorney and Petition Form.

☒ **Copy of Executed Declaration, Power of Attorney and Petition Form from prior application identified above.**

☐ Certified Copy of priority document(s) identified as attached above.

ADDITIONAL PAPERS

☐ Assignment to ___, Recordation Cover Sheet (Form PTO-1595)

☐ Preliminary Amendment (to be entered prior to calculation of fees)

☒ **Information Disclosure Statement, 1 sheet(s) Form PTO-1449, 0 U.S. Patent Reference(s), 0 Foreign Patent Reference(s) and 0 Other Reference(s)**

☐ Other: ___

CHECKS

☒ **A Check of \$710.00 for the filing fee.**

☐ A Check of ___ for the assignment recording fee.

DEPOSIT ACCOUNT AUTHORIZATION

- ☐ Please charge Deposit Account No. 23-3000 in the amount of .
- ☒ The Commissioner is authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the entire pendency of the application, or credit any overpayment, to Deposit Account No. 23-3000. A duplicate of this transmittal is attached.
- ☐ THE PAYMENT OF FEES IS BEING DEFERRED.

Respectfully Submitted,

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